

Personal Budget Assistance-family managed (PB1) Service

General Description:

Personal Budget Assistance-Family managed (PB1) provides hourly and daily one-on-one support with financial matters, fiscal training, supervision of financial resources, savings, retirement, earnings, and funds monitoring, monthly check writing, bank reconciliation, budget management, tax and fiscal record keeping and filing and fiscal interaction on behalf of the individual. Generally, this service is provided along with another support like residential habilitation or supported living. PB1 Employees manage the personal finances on behalf of a person in services and may also act as the Social Security Administration, Representative Payee, conservator or the person's voluntarily appointed personal funds manager.

PB1 may be paid only to persons participating in the Self-Administered Services method.

PB1 Employees shall comply with the following additional requirements:

A. Representative Payee

1. As per R539-3-5(2), the Employee shall follow all Social Security Administration requirements outlined in 20 CFR 416.601-665.
2. As per R539-3-5(1), clients shall have access to and control over personal funds unless the client/representative voluntarily signs a DHS/DSPD Voluntary Financial Support Agreement (Form 1-3). The Employee shall give the client training, support and opportunities to manage finances to the maximum extent possible.
3. The Employee shall review financial records with the client at least monthly.
 - a. Maintain documentation of this review in the client's records and include reconciled financial statements.
 - b. Keep an accurate record of all funds deposited on behalf of the client with the Employee for use by the client. This record shall contain a list of deposits and withdrawals by category of food, rent, clothing and leisure. This record shall be verifiable with receipts and/or monthly bank statements.
 - c. Substantiate purchases over \$20.00 per item by receipts signed by the client and professional staff.
 - d. Verify multiple items purchased over \$20.00 with receipts, cancelled checks or monthly bank statements.
4. The Employee shall document the handling of personal funds in a way that is not harmful or embarrassing to the client and supports the intent of the income source. The Employee should act as representative or protective payee only in a situation where no other knowledgeable, financially competent adult is willing to take on the representative or protective payee responsibilities.—The Employee may submit an alternative procedure for consideration by the Division Director. The Employee shall only use the proposed alternative procedure if written approval of the variance is granted by the Division Director or designee.
5. Upon receipt of the client's Team approval or a DHS/DSPD Form 1-3, signed by the client/Representative, Employee shall manage the major personal business affairs of a client. Major personal business affairs include management of personal funds, checking account, savings account, or other financial matters related to supplemental income.

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6. A record shall be kept of the client's petty cash funds. The amount of cash maintained in the client's petty cash account shall not exceed \$50.00 without Employee's administrative approval. Records shall be kept of all deposits and withdrawals to the petty cash account.
 7. The Employee shall assure accuracy of personal financial records through monthly review performed by someone other than the Employee authorizing expenditures. This review shall include verifying receipts of purchases of single items exceeding \$20.00 in value. A quarterly administrative review of monthly financial documentation, bank statement, receipts and purchases shall be conducted by each Employee for a random sample of clients receiving support to ensure adequate control of finances for all clients served by the Employee. The Employee shall maintain documentation that approved reviews were conducted.
 8. It is recommended that the Employee protect the client's funds by using methods such as:
 - a. not writing checks for more than \$35.00 cash a week,
 - b. not using the Automatic Teller Machine for transactions,
 - c. making deposits with no cash back.These actions help to protect the client's funds by establishing a bank record of the total funds received by the client and requiring the client to sign all transactions.
 9. Representative or protective payees monthly statement shall be forwarded monthly to the Support Coordinator.
 10. Employee shall comply with DHS/DSPD representative payee records reviews. DHS/DSPD shall review the Employee's representative payee records as described in Utah Code 62A-5-103(2)(k).
- B. Clients' Personal Funds
1. In the event of an emergency situation, a Employee may write a check to the client or the client may borrow money from the Employee. The client's support team must be notified and grant approval of the Employee's actions. The Employee's staff must document the emergency and the client's support team approval and maintain this documentation in the clients record. The Employee shall have policies and procedures in place to make sure a client does not continuously owe the Employee money due to emergency situations.
 2. A client shall not give cash to or make purchases from the Employee or Employee's staff. A client shall not write checks to the Employee. Only in cases of emergency, may a client write a check to repay a loan made by the Employee. Employee shall ensure the client has adequate access to personal finances in order to cover anticipated expenditures. The exceptions to clients making payments to the Employee are as follows: a) reimbursement to the Employee for destruction of property by the client, if approved by the team, and allowable by contract, and b) room and board charges.
 3. The Employee shall not loan or give money to a client. The Employee shall not loan or give money to a client except in case of an emergency. A client shall not loan or give money to the Employee.
 4. Belongings with a purchase price or value of \$50.00 or more shall be inventoried. The inventory shall also include other items of significance to the client, which may cost less

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than \$50.00. The inventory shall be maintained on an ongoing basis and reviewed annually. Discarded items shall be deleted from the inventory list. Documentation of the reason for the deletion of an item shall be maintained and shall require the signature of the client/representative and one Employee staff or two Employee staff if the client/representative is not available. Personal possessions shall be released to the client/representative whenever the client moves.

Personal Budget Assistance-family managed is available to persons who choose only the Self-Administered Services option.

Limitations: PB1 shall be used instead of Residential Habilitation and Supported Living when the person needs support to manage his or her personal funds. PB1 is used to supplement Residential Habilitation and Supported Living services and allows for a distinction of fiscal activities from programmatic activities.

Population Served:

The Employee will serve people currently receiving services from DHS/DSPD with mental retardation and related conditions as defined in Utah Administrative Rule R539-1.

Employee's Qualifications:

Employee must have all applicable licenses as prescribed in Utah Administrative Rule R501 to operate and provide the particular type of services being offered and comply with insurance requirements and any local ordinances or permits governing the type of service provided.

Employee must be enrolled as an approved Individual Medicaid Provider with the Department of Health and agree to allow DHS/DSPD to bill Medicaid on its behalf for covered Medicaid services included in the rate paid by DHS/DSPD to the Employee. Employees must also agree to participate in any DHS/DSPD provided Medicaid training.

Staff Qualifications:

All staff must demonstrate competency, as determined by the Employer, education, and training before the delivery of any supports to clients.

Professional staff must be licensed as applicable according to the Division of Occupational Professional Licensing.

Direct Service Requirements:

A. Person-Centered Planning: Employee staff shall participate in and comply with the requirements of the DHS/DSPD Person-Centered Planning Process in providing services.

1. The Employee is responsible for implementing the applicable portion of the ISP's Action Plan (ISP/AP). The ISP document may include the following separate documents: Action Plan, Support Strategies, including Behavior Support Plan, Psychotropic Med Plan, Staff Instruction sheet, data collection and/or Task Analysis sheet.
2. Once the ISP/AP has been developed, the Employee must orient the client to the plan and ensure the client is involved in its implementation.
3. The Employee shall develop Support Strategies for the client. Employee shall submit Support Strategies and Monthly Summaries to DHS/DSPD.

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3. The Employee, as a member of the client's Team, is required to meet at least annually (within 12 months of the last Person Centered Process meeting) to review the client's service/support requirements and to make adjustments as necessary based on the client's needs. However, it may meet more often as determined by the client or other members of the team.

159 **All requirements listed in the applicable Residential Service Descriptions for the person (RHI, RHS,**
160 **HHS or PPS) apply to equally to PB1.**

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162 **Staff Support:**

163 Actual type, frequency and duration of support will be defined in the client's ISP/AP based on the client's
164 assessed needs. Up to fifty percent of the service may be delivered outside of the person's presence.

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166 **Rate:**

167 Personal Budget Assistance-Family managed is provided on a quarter hour basis. Personal
168 Budget Assistance –Family managed (PB1) is billed using the hourly rate.
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